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| FORM 170 (Rev. 2-32) U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE           | PTO SECRET NO.<br>178-322       | EXAMINER NO.<br>10/701,402     |
| INFORMATION DISCLOSURE<br>STATEMENT BY APPLICANT<br><br>(Use several sheets if necessary) | APPLICANT<br>Wong et al.        | CONFIRMATION NO.<br>Unassigned |
|   | FILING DATE<br>November 3, 2003 | GROUP<br>Unassigned            |

### U.S. PATENT PUBLICATIONS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE | NAME | CLASS | SUB<br>CLASS | FILING DATE<br>IF APPROPRIATE |
|---------------------|--------------------|------|------|-------|--------------|-------------------------------|
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### U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE | NAME | CLASS | SUB<br>CLASS | FILING DATE<br>IF APPROPRIATE |
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### FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS | SUB<br>CLASS | TRANSLATION |    |
|---------------------|--------------------|------|---------|-------|--------------|-------------|----|
|                     |                    |      |         |       |              | YES         | NO |
|                     |                    |      |         |       |              |             |    |

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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|-----|--|--|----|--|
| RMS |  |  | 1. | Banerjee et al., "Rational Sidewall Functionalization and Purification of Single-Walled Carbon Nanotubes by Solution-Phase Ozonolysis" <i>J. Phys. Chem. B</i> , 106:12144-12151 (November 1, 2002). |
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| RMS |  |  | 2. | Chiang et al., "Purification and Characterization of Single-Wall Carbon Nanotubes" <i>J. Phys. Chem. B</i> , 105:1157-1161 (January 12, 2001).   |
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| RMS |  |  | 3. | Hernadi et al., "Reactivity of different kinds of carbon during oxidative purification of catalytically prepared carbon nanotubes" <i>Solid State Ionics</i> , 141:203-209 (2001).                   |
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EXAMINER Rebecca M. Skidler DATE CONSIDERED April 20, 2006

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication with applicant.

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|  | APPLICANT<br>Wong et al.        | CONFIRMATION NO.<br>Unassigned |
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| EMS |  | 4.  | Rinzler et al., "Large-scale purification of single-wall carbon nanotubes: process, product, and characterization" <i>Appl. Phys. A: Mater. Sci. Process</i> , 67: 29-37 (1998).                                     |
| RMS |  | 5.  | Chiang et al., "Purification and Characterization of Single-Wall Carbon Nanotubes (SWNTs) Obtained from the Gas-Phase Decomposition of CO (HiPco Process)" <i>J. Phy. Chem. B</i> , 105:8297-8301 (August 10, 2001). |
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| EMS |  | 7.  | Deng et al., "Oxidation of Fullerenes by Ozone" <i>Fullerene Sci. Technol.</i> , 5(5):1033-1044 (March 17, 1997).  |
| EMS |  | 8.  | Heymann et al., "C <sub>60</sub> O <sub>3</sub> , a Fullerene Ozonide: Synthesis and Dissociation to C <sub>60</sub> O and O <sub>2</sub> " <i>J. Am. Chem. Soc.</i> , 122:11473-11479 (November 3, 2000).           |
| EMS |  | 9.  | Mawhinney et al., "Infrared Spectral Evidence for the Etching of Carbon Nanotubes: Ozone Oxidation at 298 K" <i>J. Am. Chem. Soc.</i> , 122:2383-2384 (February 29, 2000).   |
| RMS |  | 10. | Bahr et al., "Covalent chemistry of single-wall carbon nanotubes" <i>J. Mater. Chem.</i> , 12:1952-1958 (May 1, 2002).   |
| RMS |  | 11. | Cai et al., "Ozonation of Single-Walled Carbon Nanotubes and their Assemblies on Rigid Self-Assembled Monolayers" <i>Chem Mater.</i> , 14:4235-4241 (September 5, 2002).   |

EXAMINER Rebecca M. Stahl DATE CONSIDERED April 20, 2006

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